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Approved for use through 10/31/2002. OMB 0651-0031

Date | June 26, 2002

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. 10/040,315 **Application Number** October 29, 2001 Filing Date RANSMITTAL First Named Inventor **FORM** FARESE, ROBERT V., JR. Group Art Unit 1632 e used for all correspondence after initial filing) **Examiner Name** N/A Attorney Docket Number UCAL-105CIP2 Total Number of Pages in This Submission ENCLOSURES (check all that apply) \boxtimes Fee Transmittal Form Assignment Papers After Allowance Communication (for an Application) to Group Fee Attached Drawing(s) Appeal Communication to Board \boxtimes of Appeals and Interferences Preliminary Amendment / Reply Licensing-related Papers After Final Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) Petition Affidavits/declaration(s) Proprietary Information Extension of Time Request Petition to Convert to a **Provisional Application Express Abandonment Request** Status Letter Power of Attorney, Revocation Change of Correspondence Information Disclosure Statement Other Enclosure(s) (please Address identify below): Terminal Disclaimer Certified Copy of Priority **Executed Declaration**; Documents Sequence listing certification: Request for Refund Paper copy of Sequence listing; \boxtimes Response to Missing Parts/ 1 CRF disk; Incomplete Application Return receipt postcard CD, Number of CD(s) Response to Missing Parts Remarks under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm BRET E. FIELD, Reg. No. 37,620 Individual Name Signature Date June 26, 2002 **CERTIFICATE OF MAILING** I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: June 26, 2002. Typed or printed name

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Donna Macedo

Signature

PTO/SB/17 (10-01)
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	Complete if Known							
FEE TRANSMITTAL	Application Number			10/040,315				
🎤 🍟 pr FY 2002		Filing	Date		October 29, 2001			
\$ \$P1112002			lamed	Invento				
Pates fees are subject to annual revision.					N/A			
No. of the second secon								
(\$) 558.00		Group Art Unit 1632 Attorney Docket No. UCAL-105CIP2						
	т	Attorn	ey Doc					
METHOD OF PAYMENT				FE	E CALCULATION (continued)			
The Commissioner is hereby authorized to charge indicated fees and credit overpayments to: Deposit Account Number 50-0815 Deposit Account Name Bozicevic, Field & Francis LLP Cleans A 1879 Deposit Account Name Bozicevic, Field & Francis LLP	3.		Ð	FEES Smal Entity Fee (\$)	l			
	1	,						
Applicant Claims small entity status.	105		205 227	65 35	Surcharge – late filing fee or oath 65.00			
See 37 CFR 1.27	ł '~'	127 50 227 25 Surcharge – late provisional filing fee or cover sheet						
2. Payment Enclosed:	139	130	139	130	Non-English specification			
☐ Check ☐ Credit Card ☐ Money Order ☐ Other	147				For filing a request for ex parte reexamination			
FEE CALCULATION	112	920*	112	920*	Requesting publication of SIR prior to Examination action			
2. BASIC FILING FEE Large Entity Small Entity	113	1,840	* 113	1,840	*Requesting publication of SIR after Examiner action			
Fee Fee Fee Fee Description Fee Paid Code (\$) Code (\$)	115	110	215	55	Extension for reply within first month			
101 740 201 370 Utility filing fee 370.00	116	400	216	200	Extension for reply within second month			
106 330 206 165 Design filing fee	117	920	217	460	Extension for reply within third month			
107 510 207 255 Plant filing fee	118	1,440	218	720	Extension for reply within fourth month			
108 740 208 370 Reissue filing fee	128	1,960	228	980	Extension for reply within fifth month			
114 160 214 80 Provisional filing fee	119	320	219	160	tice of Appeal			
SUBTOTAL (1) 370.00	120	320	220	160	Filing a brief in support of an appeal			
1. EXTRA CLAIM FEES	121	280	221	140	Request for oral hearing			
Fee from	138	1,510	138	1,510	Petition to institute a public use proceeding			
Extra Claims below Fee Paid	140		240	55	Petition to revive – unavoidable			
Total Claims 29 -20** = 9 x 9.00 = 81.00 Indep. Claims 4-3** = 1 x 42.00 = 42.00	141	1,280	241	640	Petition to revive – unintentional			
Multiple Dependent =	142	1,280	242	640	Utility issue fee (or reissue)			
	143	460	243	230	Design issue fee			
	144	620	244		Plant issue fee			
Large Entity Small Entity Fee Fee Fee Fee Fee Description	122 123	130 50	122 123		Petitions to the Commissioner			
Code (\$) Code (\$)	126	180	126	50 180	Processing fee under 37 CFR 1.17(q)			
103 18 203 9 Claims in excess of 20	581	40	581	40	Submission of Information Disclosure Stmt			
102 84 202 42 Independent claims in excess of 3					Recording each patent assignment per property (times number of properties)			
104 280 204 140 Multiple dependent claim, if not paid	146	740	246		For each additional invention to be examined (37 CFR § 1.129(a))			
109 84 209 42 ** Reissue independent claims over original patent	149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))			
		740	279		Request for Continued Examination (RCE)			
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		900	169	900	Request for expedited examination of a design application			
SUBTOTAL (2) \$ 123.00	Othe	er fee (spe	cify)					
**or number previously paid, if greater; For Reissues, see above.	*Rer	Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 65.00						
	. 100	. accor by t	Judio I III	ny i ee i	Paid SUBTOTAL (3) (\$) 65.00			

SUBMITTED BY		Comp	omplete (if applicable)		
Name (Print/Type)	Bret E. Field	Registration No. (Attorney/Agent)	37,620	Telephone	(650) 327-3400
Signature		7		Date	06/26/2002

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APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/040,315

10/29/2001

Robert V. Farese JR.

UCAL105CIP2

Bret E. Field Bozicevic, Field and Fran Suite 200

200 Middlefield Road Menlo Park, CA 94025



CONFIRMATION NO. 1732

FORMALITIES LETTER

OC00000008022813

Date Mailed: 05/03/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/16/2002 KZEWDIE 00000015 500815

10040315

FILED UNDER 37 CFR 1.53(b)

01 FC:201 02 FC:205 03 FC:203 65.00 CH 65.00 CH 81.00 CH

Filing Date Granted

42.00 (1) : tems Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
 Applicant must submit \$ 370 to complete the basic filing fee for a small entity.
- The oath or declaration is missing.
 A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(I) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d). Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase Patentin Software, call (703) 306-2600
- For Patentin Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

Items Required To Avoid Processing Delays:

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.

Additional claim fees of \$993 as a small entity, including any required multiple dependent claim fee, are
required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are
due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$1428 for a Small Entity

- \$370 Statutory basic filing fee.
- \$65 Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is \$993
 - \$405 for 45 total claims over 20.
 - \$588 for 14 independent claims over 3.

A copy of this notice <u>MUST</u> be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE